

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop Patent Application  
Commissioner of Patents and Trademarks  
P.O. Box 1450  
Alexandria, VA 22313-1450

22388 U.S. PTO  
10/813709

PATENT FILING TRANSMITTAL

Transmitted herewith for filing is the Patent Application of: Upendra V. Chaudhari, Jiri Navratil, Jason W. Pelecanos, Ganesh N. Ramaswamy and Ran D. Zilca

For: METHOD AND APPARATUS FOR DETERMINING THE IDENTITY OF A USER BY NARROWING DOWN FROM USER GROUPS

which is to be assigned to IBM Corporation, Armonk, New York, and who should be listed on any patent application publication as the Assignee of this application.

TYPE OF FILING

This new patent application is for a(n):

- ☒ Utility
- ☐ Design
- ☐ Plant
- ☐ Divisional
- ☐ Continuation
- ☐ Continuation-in-part

Benefit of a prior filed application

- ☐ This application claims the benefit of an earlier filed U.S. Patent Application under 35 USC 120.
- ☐ Please accord Applicant the benefit of the priority date of \_\_\_\_\_ to this case pursuant to 35 USC 119. Applicant's claim for priority is based on application \_\_\_\_\_ filed in \_\_\_\_\_ on \_\_\_\_\_ that date.

Filing under 37 CFR 1.53 (Utility) or 37 CFR 1.153 (Design)

- ☒ This is an application filed pursuant to 37 CFR 1.53 or 37 CFR 1.153, permitting receipt of a filing date upon filing of a specification, at least one claim and necessary drawings.
- ☒ In the event any parts of this application are incomplete, please treat this as a filing under 37 CFR 1.53 or 37 CFR 1.153.

ENCLOSURES

- ☒ 11 - pages of written description;
- ☒ 7 - pages of claims;
- ☒ 1 - pages of abstract;
- ☐ \_\_\_\_\_ - sheets of formal drawings;
- ☒ 3 - sheets of informal drawings;
- ☒ Declaration and Power of Attorney or listing of inventors (unexecuted);
- and
- ☒ Two postcards for return to us as proof of receipt of the above documents.
- plus
- ☐ An Assignment of the invention to IBM Corporation and an Assignment cover sheet;

- ☐ Verified Statement Claiming Small Entity Status (37 CFR 1.9(f) and 1.27(b))
- ☐ Form PTO-1449 (IDS) and two copies of the references listed thereon;
- ☐ A certified copy of \_\_\_\_\_ (country) patent application number \_\_\_\_\_ (priority document).
- ☐ A preliminary amendment;
- ☐ Declaration of Biological Deposit;
- ☐ Submission of sequence listing, computer readable copy and/or amendment relating thereto for biotechnology invention containing nucleotide and/or amino acid sequence;
- ☐ An associate power of attorney;
- ☐ Other.

#### DECLARATION OR OATH

The enclosed Declaration or Oath has been executed by:

- ☐ Inventor(s);
- ☐ Legal representative of the inventors (37 CFR 1.42 or 1.43);
- ☐ Joint inventor or person showing proprietary interest on behalf of an inventor who refused to sign or who cannot be reached and this is a petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is attached;
- ☒ Has not been executed and is enclosed for the purposes of identifying the inventors.

#### INVENTORSHIP STATEMENT

The inventorship for all the claims in this application is:

- ☒ the same;
- ☐ not the same and, as an explanation, a statement is/ will be submitted.

#### LANGUAGE

The application submitted herewith is:

- ☒ in English;
- ☐ in not in English and in terms of 37 CFR 1.52(d) a verified translation is
  - ☐ attached
  - ☐ not attached.

#### FEE CALCULATION

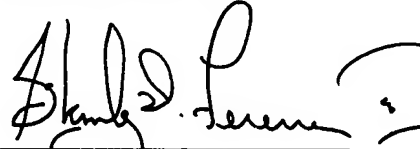
The filing fee has been calculated as shown below:

	SMALL ENTITY OR		OTHER THAN A	
	SMALL ENTITY		SMALL ENTITY	
BASIC FEE Design Patent	\$170	\$	\$340	\$
BASIC FEE Utility Patent	\$385	\$	\$770	\$770
EXTRA FEES	RATE	FEE	RATE	FEE
TOTAL CLAIMS 29 MINUS 20= 9	x 9=	\$0	x18=	\$162
INDEP.CLAIMS 3 MINUS 3 = 0	x 43=	\$0	x86=	\$
<input type="checkbox"/> MULTIPLE DEP.CLAIM	+145=	\$	+290=	\$
<input type="checkbox"/> ASSIGNMENT	+ 40=	\$	+40=	\$
<input type="checkbox"/> RULE 53 SURCHARGE	+ 65=	\$	+130=	\$
TOTAL		\$		\$932

**FEE PAYMENT**

- ☐ Attached is Check No. \_\_\_\_\_ in the sum of \$ \_\_\_\_\_ to cover the filing fee and, if applicable, the assignment fee.
- ☒ Please charge **IBM Corporation Deposit Account No. 50-0510** the amount of \$932, to cover the filing fee. Duplicate copies of this letter are enclosed. In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or credit **Deposit Account No. 50-0510** as required to correct the error.

Respectfully submitted,



Stanley D. Ference III  
Reg. No. 33,879

Dated: March 31, 2004

FERENCE & ASSOCIATES  
400 Broad Street  
Pittsburgh, Pennsylvania 15143  
(412) 741-8400  
(412) 741-9292-Facsimile

PATENT

Docket No. YOR920040077US1  
(590.131)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s) : Upendra V. Chaudhari et al. Group Art: not yet assigned  
Serial No. : not yet assigned Examiner: not yet assigned  
Filed : herewith  
For : METHOD AND APPARATUS FOR DETERMINING THE IDENTITY OF  
A USER BY NARROWING DOWN FROM USER GROUPS

**EXPRESS MAIL CERTIFICATE**

Express Mail Label No. EV372941284US

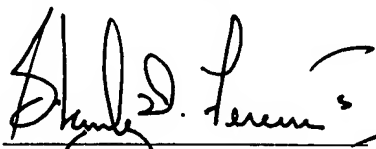
Date of Deposit 31 March 2004

I hereby certify that the following attached paper(s) or fee:

Patent Application  
Written Description  
Claims 1-29  
Abstract  
Drawings (Figs. 1-3)  
Declaration and Power of Attorney (unexecuted)  
Patent Filing Transmittal (in duplicate)  
Certificate of Express Mail  
Two Return Postcards

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service  
under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner for  
Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Stanley D. Ference III  
(Typed or printed name of  
person mailing paper)

  
(Signature of person mailing  
paper(s) or fee)

Mailing Address:

FERENCE & ASSOCIATES  
400 Broad Street  
Pittsburgh, Pennsylvania 15143  
(412) 741-8400  
(412) 741-9292-Facsimile